



## IAPD Report

# JOSEPH EDWARD MATSON

CRD# 322947

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### JOSEPH EDWARD MATSON (CRD# 322947)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/24/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ASH MATSON WEALTH PARTNERS, INC.	CRD# 166261	01/24/2013

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	MATSON & CUPRILL, LLC	119122	CINCINNATI, OH	02/05/2003 - 06/14/2013
B	JEFFERSON PILOT SECURITIES CORPORATION	3870	FORT WAYNE, IN	02/07/2005 - 09/26/2005
B	JEFFERSON PILOT SECURITIES CORPORATION	3870	FORT WAYNE, IN	05/19/1999 - 05/07/2003

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	4



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **ASH MATSON WEALTH PARTNERS, INC.**  
Main Address: PALM CITY, FL  
Firm ID#: 166261

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

#### Branch Office Locations

**ASH MATSON WEALTH PARTNERS, INC.**  
PALM CITY, FL



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Registered Representative Examination (S1)	Series 1	12/16/1972
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	02/25/1980
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

#### Chartered Financial Consultant

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/05/2003 - 06/14/2013	MATSON & CUPRILL, LLC	CRD# 119122	CINCINNATI, OH
B	02/07/2005 - 09/26/2005	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	05/19/1999 - 05/07/2003	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	03/13/1998 - 04/28/1999	OGILVIE SECURITY ADVISORS CORPORATION	CRD# 10105	CHICAGO, IL
B	11/01/1974 - 02/24/1998	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	03/07/1973 - 12/13/1974	INA SECURITY CORPORATION	CRD# 422	
B	01/02/1973 - 03/16/1973	M F C SECURITIES, INC.	CRD# 4023	

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2012 - Present	ASH MATSON WEALTH PARTNERS, INC.	INVESTMENT ADVISER REPRESENTATIVE/ (FORMER OWNER)	Y	PALM CITY, FL, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

INSURANCE AGENT - INVESTMENT RELATED - INSURANCE SALES - 8 HOURS PER MONTH DURING MARKET HOURS

CONSULTANT - MATSON MONEY - INVESTMENT RELATED - 2 HOURS PER MONTH DURING MARKET HOURS - ATTENDS QUARTERLY MEETINGS



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	4

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/04/1992

**Docket/Case Number:** C04920056

**Employing firm when activity occurred which led to the regulatory action:** GROUP FIVE FINANCIAL CORPORATION

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 05/18/1993

**Sanctions Ordered:** Censure  
Monetary/Fine \$7,500.00

**Other Sanctions Ordered:**

**Sanction Details:**



**Regulator Statement**

COMPLAINT NO. C04920056 FILED SEPTEMBER 4, 1992 BY DISTRICT NO. 4 AGAINST GROUP FIVE FINANCIAL CORPORATION, ROBERT WALTER CARRON, SR., WALTER JOSEPH OBREMSKI, RICHARD MICHAEL GROFF, JOSEPH PAUL MEDSKER, JOSEPH EDWARD MATSON, AND VIRGIL SANFORD  
 MATSON ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS CARRON, OBREMSKI, GROFF, MEDSKER, J. MATSON  
 AND V. MATSON, FAILED TO PROMPTLY REFUND INVESTORS FUNDS WHEN THE CONTINGENCY IN A PRIVATE PLACEMENT OFFERING HAD NOT BEEN MET OR TO PROPERLY EXTEND THE OFFERING TERMINATION DATE; USED OR CAUSED TO BE USED FUNDS FROM CERTAIN PARTNERSHIPS FOR THE BENEFIT OF OTHER PARTNERSHIPS, AND/OR COMMINGLED FUNDS AMONG THE VARIOUS PARTNERSHIPS WHEN THERE WERE NO DISCLOSURES IN THE OFFERING MEMORANDA TO PERMIT SUCH USE OF THE FUNDS; AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENT OBREMSKI, FAILED TO PROMPTLY REFUND FUNDS TO INVESTORS WHEN ALL UNITS HAD NOT BEEN SOLD BY THE TERMINATION DATE FOR AN OFFERING. BENEFIT OF OTHER PARTNERSHIPS, AND/OR COMMINGLED FUNDS AMONG

DECISION RENDERED MAY 18, 1993, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY THE RESPONDENTS WAS ACCEPTED; THEREFORE, RESPONDENTS MEMBER, CARRON, GROFF, MEDSKER, AND J. MATSON ARE CENSURED AND FINED \$7,500, JOINTLY AND SEVERALLY; AND, RESPONDENT OBREMSKI IS CENSURED AND FINED \$2,500.

\*\*\*\$7,500.00 J&S PAID ON 6/15/93 INVOICE #93-04-430\*\*\*

**Reporting Source:** Individual

**Regulatory Action Initiated By:** DBCC OF DISTRIC 4 OF NASD C/O DIST NO 8

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 09/04/1992

**Docket/Case Number:** C04920056

**Employing firm when activity occurred which led to the regulatory action:** GROUP FIVE FINANCIAL CORPORATION

**Product Type:** Other

**Other Product Type(s):** REAL ESTATE

**Allegations:** USED FUNDS OR CAUSED FUNDS TO BE USED OF CERTAIN PARTNERSHIPS TO BENEFIT OTHER PARTNERSHIPS COMMINGLED FUNDS BETWEEN PARTNERSHIPS

**Current Status:** Final



**Resolution:** Consent

**Resolution Date:** 05/18/1993

**Sanctions Ordered:** Censure  
Monetary/Fine \$7,500.00

**Other Sanctions Ordered:**

**Sanction Details:** FINDING WHICH NEITHER ADMITTED OR DENIED VIOLATIONS OF ARTICLE III SECTION 1 OF ASSOC RULE S FINE OF \$7,500 JOINT & SEVERAL AGAINST GENERAL PARTNER CARRON, MATSON, GROFF, MEDISKER

**Broker Statement** MY DUTIES WITH THE GENERAL PARTNER WAS TO WORK IN MARKETING WITH REGISTERED REPRESENTATIVES. EVEN THOUGH I WAS AN OFFICER I RELIED ON COUNCIL AND OTHER FINANCIAL EMPLOYEES TO ARRANGE FOR FINANCING & SECURITIES REGULATIONS AND NASD COMPLIANCE OF WHICH BOTH ARE HIGHLY SPECIALIZED FIELDS. THE FACT THAT I LIVED & WORKED IN CINTI OHIO. AND THE HOME OFFICE AND STAFF WAS IN ST LOUIS MO. MADE IT IMPRACTICAL FOR ME TO BE INVOLVED IN SUCH MATTER'S. UNTILL I WAS NOTIFIED OF THE CLAIM AGAINST ME ON SEPT 4, 92 I HAD NOT KNOWLEDGE OF THESE EVENTS.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 4

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CHUBB SECURITIES

**Allegations:** FAILURE TO DISCLOSE FACTS, NEGLIGENCE, CONCEALMENT, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, & CONTRACT

**Product Type:**

**Alleged Damages:**

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 04/02/1998

**Settlement Amount:**

**Individual Contribution Amount:**

## Civil Litigation Information

**Court Details:** CIRCUIT; ST. LOUIS COUNTY, MO; 97CC-001432 6 CV

**Date Notice/Process Served:** 06/01/1997

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/02/1998

**Broker Statement** SETTLED BETWEEN CHUBB SECURITIES & PLAINTIFFS, CHUBB SECURITIES PAID \$700,000 IN CONJUNCTION WITH WEISER, DEARMON, WEST, & CERARDI CASE #683043  
I WAS NOT THE REGISTERED REP IN THIS CASE. I WAS NAMED AS GENERAL PARTNER IN SOME OF THE PARTNERSHIPS NAMED IN THE SUIT.

### Disclosure 2 of 4

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:**



**Allegations:** MISREPRESENTATION; OMISSION OF FACTS; SUITABILITY; BRCH OF FIDUCIARY DT

**Product Type:**

**Alleged Damages:** \$4,407,888.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #93-01590

**Date Notice/Process Served:** 06/28/1993

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 03/03/1995

**Disposition Detail:** CASE IS CLOSED, WITHDRAWN W/ PREJUDICE ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** ALLEGED THAT I FAILED TO DELIVER PPM ON PARTNERSHIP AND DELIBERATELY MISREPRESENTED SAME, SOLD UNREGISTERED SECURITIES NEGLIGENT VIOLATED 10B AND 20 SBC. ACT, BREACH OF CONTRACT AND FIDUCIARY DUTY, VIOLATION NYSE 342 AND SECTION 1962 (A) RICO AND BED 2, 11, 119, 903.

**Product Type:**

**Alleged Damages:** \$4,407,888.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Assoc. of Securities Dealers; 93-01590

**Date Notice/Process Served:** 06/28/1993

**Arbitration Pending?** No



**Disposition:** Settled  
**Disposition Date:** 03/03/1995  
**Monetary Compensation Amount:** \$787,500.00  
**Individual Contribution Amount:**  
**Broker Statement** THE ARBITRATION WAS SETTLED BY THE PAYMENT OF \$787,500 BY CHUBB SECURITIES CORPORATION IN EXCHANGE FOR A GENERAL RELEASE RELEASING ALL RESPONDENTS FROM LIABILITY.  
Not Provided

#### Disclosure 3 of 4

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** CHUBB SECURITIES  
**Allegations:** I WAS NAMED AS A GENERAL PARTNER, FAILURE TO DISCLOSE MATERIAL FACTS, NEGLIGENCE, CONCEALMENT, MISREPRESENTATION, FRAUDULENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, & CONTRACT - CLAIM = \$1,086,000

#### Product Type:

**Alleged Damages:** \$1,086.00

#### Customer Complaint Information

**Date Complaint Received:**  
**Complaint Pending?** No  
**Status:** Litigation  
**Status Date:** 04/02/1998  
**Settlement Amount:**

**Individual Contribution Amount:**

#### Civil Litigation Information

**Court Details:** CIRCUIT; COUNTY OF ST. LOUIS, MO; 683043  
**Date Notice/Process Served:** 12/01/1993  
**Litigation Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 04/02/1998  
**Broker Statement** SETTLED BETWEEN CHUBB SECURITIES AND PLAINTIFFS, CHUBB SECURITIES PAID \$700,000 IN CONJUNCTION WITH DAVID MEHALL CASE #97CC-001432 6CV  
I WAS NOT A REGISTERED REP IN THIS CASE. I WAS NAMED AS A GENERAL PARTNER IN SOME OF THE PARTNERSHIPS IN THE CLAIM.

#### Disclosure 4 of 4



**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** THAT I MADE CERTAIN FALSE AND MATERIAL MISREPRESENTATIONS AND OMISSIONS INTENDING TO DECEIVE PLAINTIFFS AND TO INDUCE THEM TO PURCHASE CERTAIN INVESTMENTS SUCH AS LIMITED PARTNERSHIPS, MUTUAL FUNDS, BOND FUNDS AND OTHERS - LOSS CLAIMED \$300,000

**Product Type:**

**Alleged Damages:** \$300,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Civil Litigation Information**

**Court Details:** A-91-01793

**Date Notice/Process Served:** 04/03/1991

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 11/17/1993

**Monetary Compensation Amount:** \$15,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** PAYMENT WAS MADE IN MY BEHALF IN THE AMOUNT OF \$15,000 WITHOUT ANY ADMISSION OF LIABILITY BUT RATHER TO AVOID FUTHER LITIGATION LOSS OF TIME & EXPENSE IT IS MY BELIEF THAT I WAS GUILTY OF NOTHING. I DEALT WITH THE COMPLAINTIVE IN GOOD FAITH AND FOLLOWED THE RULES AND REGULATION OF THE NASD AND MY BROKER DEALER TO THE LETTER. I FEEL THIS WAS A FRIVOLOUS CLAIM AS WOULD BE INDICATED BY THE CLAIMANTS EXCEPTANCE OF \$15,000 FOR WHAT WAS ORGINALLY A CLAIM FOR \$300,000. THE LOSS TO ME IN TIME & LEGAL FEES AND OTHER EXPENSES HAVE HOWEVER FAR EXCEEDED THE SETTLEMENT AMOUNT.



## End of Report

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